

1 DAVID R. ZARO (BAR NO. 124334)  
2 JOSHUA A. DEL CASTILLO (BAR NO. 239015)  
3 NORMAN M. ASPIS (BAR NO. 313466)  
4 ALLEN MATKINS LECK GAMBLE  
5 MALLORY & NATSIS LLP  
6 865 South Figueroa Street, Suite 2800  
7 Los Angeles, California 90017-2543  
8 Phone: (213) 622-5555  
9 Fax: (213) 620-8816  
10 E-Mail: dzaro@allenmatkins.com  
11 jdelcastillo@allenmatkins.com  
12 naspis@allenmatkins.com

13 Attorneys for Receiver  
14 THOMAS SEAMAN

15 UNITED STATES DISTRICT COURT  
16 SOUTHERN DISTRICT OF CALIFORNIA

17 SECURITIES AND EXCHANGE  
18 COMMISSION,

19 Plaintiff,

20 v.

21 TOTAL WEALTH MANAGEMENT,  
22 INC.; et al.,

23 Defendants.

Case No. 15-cv-226 BAS-MSB

NO ORAL ARGUMENT UNLESS  
REQUESTED BY THE COURT

DECLARATION OF THOMAS A.  
SEAMAN IN SUPPORT OF MOTION  
OF RECEIVER, THOMAS A.  
SEAMAN, FOR ORDER: (1)  
APPROVING FINAL REPORT AND  
ACCOUNTING; (2) AUTHORIZING  
PAYMENT OF FINAL FEE  
APPLICATIONS OF RECEIVER AND  
PROFESSIONALS; AND (3) STAYING  
RECEIVERSHIP CASE AND  
DISCHARGING AND RELEASING  
RECEIVER

[Notice of Motion and Motion;  
Memorandum of Points and Authorities;  
Final Report and Accounting; Final  
Applications for Payment of Fees and  
Reimbursement of Expenses; and  
[Proposed] Order thereon submitted  
concurrently herewith]

Date: March 2, 2020  
Ctrlm: 4B  
Judge Hon. Cynthia Bashant

**DECLARATION OF THOMAS A. SEAMAN**

I, Thomas A. Seaman, declare as follows:

1. I am the Court-appointed permanent receiver (the "Receiver") for Total Wealth Management, Inc., and its subsidiaries and affiliates, (collectively, the "Receivership Entities" or "Entities"). I was appointed as Receiver in the above-captioned action on June 7, 2016, by virtue of this Court's June 7, 2016 Order Approving Joint Stipulation to Substitute Thomas A. Seaman as Permanent Receiver (the "Appointment Order") (ECF No. 102). I have personal knowledge of the facts set forth in this Declaration, and make this Declaration in support of the concurrently-filed Motion of Receiver for Order: (1) Approving Final Report and Accounting; (2) Authorizing Payment of Final Fee Applications of Receiver and Professionals; and (3) Staying Receivership Case and Discharging and Releasing Receiver (the "Wind-Up Motion").

2. Since my appointment I have administered the estate of the Receivership Entities (the "Estate" or "Receivership Estate") and all receivership assets (the "Assets" or "Receivership Assets") in accordance with the Court's instructions including, but not limited to: (1) marshaling and preserving Receivership Assets; (2) performing accountings and analysis of the Receivership Entities' financial activities and condition; (3) eliminating and addressing the Entities' liabilities; (4) recommending the claims process, appropriate treatment of claims, and making distributions; and (5) preparing reports for this Court.

3. Pursuant to this Court's February 12, 2015 "(1) Preliminary Injunction, Appointment of a Permanent Receiver, and Related Orders; and (2) Order Vacating Hearing on Preliminary Injunction" (ECF No. 8), and this Court's May 8, 2015 "Order Granting Motion for Order in Aid of Receivership" (ECF No. 31), my most significant accomplishments during the pendency of the instant receivership include:

- Completing a detailed review and analysis of the business and financial activities of the Receivership Entities, including a

1 review and analysis of hundreds of thousands of transactions,  
2 detailed in over a million pages of records relating to the  
3 Receivership Entities and their investors;

- 4 • Marshaling and preserving all Receivership Assets, ultimately  
5 resulting in gross recoveries in the amount of \$4,989,420 for the  
6 benefit of the Receivership Entities, including funds raised from  
7 the sale of personal property assets, liquidations, and settlement  
8 and pending litigation;
- 9 • Securing Court approval of the settlement of claims alleged in  
10 the action styled Seaman v. Lively, et al., Case No. 37-2016-  
11 00003644-CU-PN-CTL, and recovering significant settlement  
12 proceeds for the benefit of the Receivership Entities, including  
13 with respect to settlement proceeds against which Defendant  
14 Jacob Cooper alleged a claim;
- 15 • Negotiating a settlement, and securing Court approval thereof, of  
16 the action styled Seaman v. Private Placement Capital Notes II,  
17 LLC, et al., USDC, S.D. Cal. Case No. 16-cv-0578 BEN (DHB)  
18 (the "PPCN Action"), which settlement (the "PPCN Settlement")  
19 provides for, among other things, a settlement payment to the  
20 Receivership Entities in the amount of at least \$1 million, and  
21 which, if successful, may enable me to make a supplemental and  
22 final distribution on allowed claims (the "Final Distribution");
- 23 • Reviewing and addressing more than three hundred (300) claims  
24 submitted by Receivership Entity investors and creditors,  
25 conferring with claimants regarding claim deficiencies, and  
26 developing and securing Court approval of my recommended  
27 equitable treatment of allowed claims; and  
28

- Developing, and securing Court approval of, my proposed omnibus plan for distribution on allowed claims, pursuant to which I made an initial distribution, in the aggregate amount of \$2,831,772.34<sup>1</sup>, on a *pro rata* basis on all allowed, non-subordinated claims.

4. I believe I have – with the assistance of my Professionals<sup>2</sup> – fulfilled each of my responsibilities to the fullest extent possible, and have exhausted all reasonable efforts to recover additions Receivership Assets for the benefit of the Estate. Accordingly, my continued administration, except in connection with a potential settlement payment derived from the PPCN Settlement, will not increase the amount of Assets available to the Receivership Estate. Thus, in my judgment, the costs of continuing the receivership now outweigh the benefits.

5. Given this determination, and having fulfilled my responsibilities under the Appointment Order, I believe it is now time to stay the receivership case pending a potential performance of the PPCN Settlement, and discharge and release me, except as in connection with the Final Distribution. My Final Report and Accounting (the "Final Report"), which also appends my final accounting for the Estate, has been submitted to the Court concurrently with the Wind-Up Motion. The Final Report summarizes my actions and the actions of my Professionals during

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<sup>1</sup> In connection with my "Motion for Order Authorizing and Approving Omnibus Plan for Distribution on Allowed Claims" (ECF No. 245), the Court entered its April 8, 2019 "Order: (1) Overruling Claimant Richard M. Kipperman's Objection and (2) Granting Receiver Thomas A. Seaman's Motion for Order Authorizing and Approving Omnibus Plan for Distribution on Allowed Claims, as Amended" (the "Omnibus Distribution Order") (ECF No. 253), pursuant to which the Court authorized me to make an initial aggregate distribution in the amount of \$2,832,982, on a *pro rata* basis, on all allowed, non-subordinated claims. Subsequently, I corrected an erroneously-calculated distribution to a particular investor, which led to an additional distribution in the amount of \$1,178.28. In addition, I made an adjustment to the aggregate distribution amount to the extent that certain distribution checks were voided, in the amount of \$2,387.98. Accordingly, my initial distribution amount was \$2,831,772.34.

<sup>2</sup> For the purposes of this Declaration, my "Professionals" are my attorneys, Allen Matkins Leck Gamble Mallory & Natsis, LLP, and my accountants and tax professionals, Crowe LLP.

1 the pendency of the receivership case, and provides descriptions of my document  
 2 review and analysis, accounting, Asset preservation and recovery, claims  
 3 administration and reporting efforts. A copy of my final accounting summary,  
 4 reflecting recoveries and expenditures during the pendency of the receivership, is  
 5 attached as **Exhibit 1** to the Final Report. Concurrently with the Wind-Up Motion,  
 6 my Professionals and I have also submitted our respective Final Fee Applications,  
 7 requesting payment of our respective outstanding fees and expenses already incurred  
 8 and anticipated fees and expenses through the termination of the instant  
 9 receivership.

10 6. As is customary in these matters, I will submit a declaration to the  
 11 Court reflecting the completion of the wind-up tasks and the outcome of the PPCN  
 12 Settlement.

13 7. The Court has already authorized me, pursuant to its April 8, 2019  
 14 Omnibus Distribution Order, to set aside \$520,334 from cash on-hand to cover my  
 15 and my Professionals' administrative and professional fees, including for: (a)  
 16 unpaid holdbacks of \$333,834.41 of already-approved fees and expenses; and (b) a  
 17 proposed reserve in the aggregate amount of \$186,500 to cover remaining  
 18 administrative fees and expenses.<sup>3</sup> While the Court has authorized the set-aside of  
 19 these amounts, it has not authorized me to make payment therefrom. Accordingly, I  
 20 respectfully request such authorization at this time to pay my and my Professionals':  
 21 (1) unpaid holdbacks in the aggregate amount of \$333,834.41; and (2) outstanding  
 22 administrative and professional fees and anticipated fees and expenses through the  
 23  
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25 <sup>3</sup> I have recovered an additional \$42,655.50, such that I now have \$562,989.50 in  
 26 cash on-hand to cover my and my Professionals' administrative and professional  
 27 fees. Given the scope and complexity of the work that my Professionals and I  
 28 performed from August 1, 2018 to present, I respectfully request that the reserve  
 amount be increased to \$226,491.50 (from \$186,500), so that a portion of the  
 additional funds recovered may be used to compensate my Professionals and me  
 for work performed from August 1, 2018 through the termination of the instant  
 receivership.

1 termination of the instant receivership, from the set-aside reserve amount of  
2 \$226,491.50. See Footnote 3.

3 8. Attached hereto as **Exhibit A** are true and correct copies of my  
4 invoices for the period from August 1, 2018 through December 31, 2019. I have  
5 reviewed the Final Fee Applications, and believe the hourly rates charged were  
6 appropriate, given the requirements of the instant receivership, that every effort was  
7 made to have tasks completed at the lowest possible billing rate, and that the total  
8 fees for which I seek authorization for payment are fair and reasonable. I likewise  
9 believe that the Estate has benefited from the services identified.

10 9. I have prepared a Standardized Fund Accounting Report, attached  
11 hereto as **Exhibit B**, for the Estate of the Receivership Entities in accordance with  
12 the Plaintiff Securities and Exchange Commission's (the "Commission") billing  
13 requirements, summarizing my collections, disbursements, and financial activities  
14 on behalf of the Receivership Entities and the Estate for the period from August 1,  
15 2018 through December 31, 2019.

16 10. I am required to submit appropriate tax returns for each calendar year  
17 of the pendency of the receivership. Based on my discussions with my accounting  
18 professionals, I will file the Qualified Settlement Fund returns for the Entities for the  
19 2019 tax year on or before February 20, 2020. If there is a Final Distribution, I  
20 anticipate submitting necessary and appropriate tax returns prior to, or  
21 contemporaneously with, the closure of the receivership case, which shall be  
22 promptly after the Final Distribution is completed or, in the event that such  
23 distribution is not possible, after notice to the Court and a recommendation that the  
24 receivership be terminated.

25 11. I have obtained and reviewed hundreds of thousands of pages of  
26 material relevant to the business and financial activities of the Receivership Entities,  
27 in hard copy and digital form. Some of these documents contain private financial  
28 information. I therefore request that, within ninety (90) days after the entry of an

1 order approving my recommendations in the Wind-Up Motion, I be authorized to  
 2 abandon any documents containing non-private information, and destroy any  
 3 documents containing private information, except for those records, if any, that are  
 4 necessary to the Final Distribution.

5 12. In order to calculate my recommended initial distribution amount, I  
 6 previously proposed, in my Eighth Interim Report and Petition for Further  
 7 Instructions (ECF No. 246), setting aside a total of \$520,334, reflecting the unpaid  
 8 holdbacks of approved fees via earlier applications, plus a reasonable estimate of the  
 9 aggregate administrative fees and expenses I and my professionals expect to incur in  
 10 administering the Estate from the date of the last Court-approved fee applications  
 11 through the termination of the receivership and my discharge and release.<sup>4</sup> I  
 12 recommend that the Court authorize me to remit any unused or unapplied funds  
 13 remaining in this reserve at the time of the termination of the receivership to the  
 14 Commission.

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27 <sup>4</sup> See Footnote 3, reflecting the current cash on-hand balance of \$562,989.50,  
 28 which includes additional recoveries of \$42,655.50. I respectfully requests that  
 the reserve to cover administrative and professional fees from August 1, 2018  
 through the termination of the instant receivership be increased to \$226,491.50  
 from \$186,500.



1           13. It may be some time before Private Placement Capital Notes II, LLC,  
2 and its associated entities (collectively, "PPCN"), makes a payment to me in  
3 accordance with the PPCN Settlement. Likewise, it is uncertain whether PPCN will  
4 make all contemplated payments. Accordingly, and in order to best preserve limited  
5 receivership resources and further limit the cost of administering the Estate, I  
6 recommend that the Court accept my Final Report and reduce my reporting  
7 obligations in connection with the instant receivership such that I shall only be  
8 required to submit a written update only if I believe the Court's attention is needed  
9 to facilitate the payment of the Final Distribution.

10           I declare under penalty of perjury under the laws of the State of California  
11 that the foregoing is true and correct.

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13           Executed this 23rd day of January, 2020, at Irvine, California.

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17           THOMAS A. SEAMAN  
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*Securities and Exchange Commission v. Total Wealth Management, Inc., et al.*,  
USDC, SD of California, Case No. 3:15-cv-00226 BAS-MSB

**INDEX OF EXHIBITS**

<b>Exhibit</b>	<b>Description</b>	<b>Page</b>
A	Detailed time slips for application period, month-by-month basis, sorted alphabetically by task name and by timekeeper	9
B	Standardized Fund Accounting Report for Total Wealth Management – Cash Basis	72

Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

Invoice submitted to:  
 Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.  
 Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

December 12, 2019

Invoice #11202

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
8/1/2018	AJ	Accounting & Reporting Review emails from Tim, Tom, and Josh re report timing and dates to be covered. Receive direction from Tom re financial reports needed by Friday.	0.20 210.00/hr	42.00
8/2/2018	AJ	Accounting & Reporting Confer with Tom re reports needed. Locate and print statements. Reconcile accounts.	0.40 210.00/hr	84.00
8/3/2018	AJ	Accounting & Reporting Direction to Kim re downloading documents from PACER. Finish account reconciliations. Make month end entries and run reports. Review ruling on settlement funds and make entries. Call with Tom re dates needed. Confer with Tim re same. Review emails. Call to Josh and I/m re reports. Email to group the financials requested.	3.10 210.00/hr	651.00
8/6/2018	MRF	Accounting & Reporting Call with CPA re 2017 financials forwarded and items to include in returns.	0.60 90.00/hr	54.00
	AJ	Accounting & Reporting Prepare financial reports for Tom to review and finalize report.	0.20 210.00/hr	42.00
8/7/2018	MRF	Accounting & Reporting Responded to email from CPA re various fund receipts in 2017. Reviewed accounting and responded. Call with CPA re K-1s received, discrepancies, and proper handling for tax reporting.	1.20 90.00/hr	108.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

			<u>Hrs/Rate</u>	<u>Amount</u>
8/7/2018	AJ	Accounting & Reporting Prepare exhibits for report. Emails with Tom and Josh re same.	0.30 210.00/hr	63.00
	AJ	Accounting & Reporting Call with Tom and Josh re financials. Redo the financials and email same.	0.30 210.00/hr	63.00
8/8/2018	MRF	Accounting & Reporting Reviewed emails re K-1 tax issues and responded with documents to CPA. Follow up calls to discuss asset valuations and distributions received pre/post Receiver along with tax implications.	1.10 90.00/hr	99.00
8/17/2018	MRF	Accounting & Reporting Call with CPA to discuss financials provided for 2017 receivership tax return, asset write-downs, and prior year K-1s.	0.90 90.00/hr	81.00
8/20/2018	MRF	Accounting & Reporting Responded to email from CPA re tax questions on certain items for the 2017 return.	0.50 90.00/hr	45.00
8/23/2018	MRF	Accounting & Reporting Follow up call with CPA re 2017 tax items.	0.30 90.00/hr	27.00
8/24/2018	MRF	Accounting & Reporting Located fund administrator and sent request for missing prior year K-1s. Forwarded response to CPA re same. Reviewed year-end asset values and determined which assets could be written off due to having already received the final distributions from the fund administrators.	1.60 90.00/hr	144.00
8/27/2018	MRF	Accounting & Reporting Call with CPA to discuss information received re prior year K-1s and tax implications. Discussed appropriate asset write-offs, etc.	0.70 90.00/hr	63.00
8/31/2018	MRF	Accounting & Reporting Reviewed request from CPA re professional fees incurred for tax reporting. Gathered information and responded accordingly.	0.60 90.00/hr	54.00
SUBTOTAL:			[ 12.00	1,620.00]
<u>Investor Relations</u>				
8/1/2018	KW	Investor Relations Phone calls with Chirico again with questions about updates.	0.40 80.00/hr	32.00
8/3/2018	TM	Investor Relations Received email re items to post re Claims process.	0.10 165.00/hr	16.50

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

		<u>Hrs/Rate</u>	<u>Amount</u>
8/6/2018	KW	Investor Relations Phone calls with two claimants answering detailed update questions.	0.60 80.00/hr 48.00
	TM	Investor Relations Received email with items to post to website. Posted. Attempted to have entire pdf loaded onto page.	1.50 165.00/hr 247.50
8/7/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	1.80 80.00/hr 144.00
	TM	Investor Relations Attempted different types of emails for attachments of motion documents. Sent email with links. Email to Diaz to ask Zaro if it is acceptable. Received reply that she will check with Zaro re same. Conference call with Tom, Alison and Zaro re same.	1.60 165.00/hr 264.00
	AJ	Investor Relations Review email from investor and forward to Tom for response.	0.10 210.00/hr 21.00
	AJ	Investor Relations Call with Tom, Tim, and David Zaro re mailing notice to claimants. Discuss with Kim and provide direction re same. Emails with additional info.	0.70 210.00/hr 147.00
8/8/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions. Had to find and evaluate claim left off of excel.	2.80 80.00/hr 224.00
	AJ	Investor Relations Review emails re investors with questions on claim calculation, etc. Calls with Kim and Tom re same. Give Kim direction on responses, etc. Follow up with Kim re investor notice mailing.	0.40 210.00/hr 84.00
8/9/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.70 80.00/hr 56.00
	TM	Investor Relations Received items to post to TWM website and posted. Email to subscribers, email to group.	1.80 165.00/hr 297.00
8/10/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.40 80.00/hr 32.00
8/13/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	1.50 80.00/hr 120.00
8/14/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.70 80.00/hr 56.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 4

		<u>Hrs/Rate</u>	<u>Amount</u>
8/14/2018	AJ Investor Relations Review investor messages, confer with Kim re same.	0.60 210.00/hr	126.00
8/15/2018	KW Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	1.90 80.00/hr	152.00
	AJ Investor Relations Review messages and confer with Kim re corrections to claims, etc. Review claims detail and search records for additional info related to claim adjustment. Direct Kim re same.	0.90 210.00/hr	189.00
8/16/2018	AJ Investor Relations Review message from claimant and consider.	0.10 210.00/hr	21.00
	TM Investor Relations Posted recent report to Court and edited previous post to fix link. Sent emails to subscribers.	1.50 165.00/hr	247.50
8/17/2018	TM Investor Relations Email from Diaz re investor needing address change.	0.10 165.00/hr	16.50
8/20/2018	KW Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.70 80.00/hr	56.00
	AJ Investor Relations Review message from investor forwarded from Allen Matkins. Send to Kim to respond. Confer with Kim re issues with mailing, and give direction on sending letter via overnight mail. Review email from Tom inquiring about delivery issue.	0.40 210.00/hr	84.00
8/21/2018	KW Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.60 80.00/hr	48.00
8/22/2018	KW Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	1.20 80.00/hr	96.00
8/23/2018	KW Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.40 80.00/hr	32.00
8/27/2018	KW Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.60 80.00/hr	48.00
8/28/2018	KW Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.50 80.00/hr	40.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 5

			<u>Hrs/Rate</u>	<u>Amount</u>
8/28/2018	AJ	Investor Relations Review emails from investors. Review email from Josh re opposition to Receivers motion. Confer with Tom re same. Review Josh's response to same.	0.40 210.00/hr	84.00
8/29/2018	AJ	Investor Relations Confer with Tom and advise re additional claims that need to be corrected.	0.20 210.00/hr	42.00
8/30/2018	AJ	Investor Relations Review and forward email to Kim for updating address.	0.10 210.00/hr	21.00
SUBTOTAL:			[ 25.30	3,092.00]

Project Management

8/13/2018	TM	Project Management Downloaded PACER documents re case and searched for info related to fee apps and reports.	1.00 165.00/hr	165.00
8/14/2018	DC	Project Management Reviewed information from Tim McDonnell regarding SFAR and looked up data in prior report.	0.10 160.00/hr	16.00
8/16/2018	AJ	Project Management Review message from Tim re report posting. Review email from Josh re hearing taken off calendar.	0.10 210.00/hr	21.00
8/20/2018	AJ	Project Management Call with Tom re hearing in SD. Advise that it was taken off calendar. Review and forward email from Josh re same.	0.20 210.00/hr	42.00
8/22/2018	TM	Project Management Downloaded document from PACER.	0.10 165.00/hr	16.50
SUBTOTAL:			[ 1.50	260.50]

Receiver

8/7/2018	TAS	Receiver Meeting with Tim and David Zaro and Alison re extra notice to claimants whose claim re are disputing.	0.40 270.00/hr	108.00
8/18/2018	TAS	Receiver Telephone call with Frank Scollan re PPCN and Hartmann retrade, latest counter, review and telephone call with Frank re response.	0.60 270.00/hr	162.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 6

		<u>Hrs/Rate</u>	<u>Amount</u>
8/23/2018	TAS Receiver Receive request from SEC re PPCN demand, retrieve and forward.	0.30 270.00/hr	81.00
	SUBTOTAL:	[ 1.30	351.00]
	<u>Receivership Administration</u>		
8/3/2018	KW Receivership Administration Downloading and saving documents from Pacer.	1.80 80.00/hr	144.00
	SUBTOTAL:	[ 1.80	144.00]
	For professional services rendered	41.90	\$5,467.50
	Balance due		<u>\$5,467.50</u>



Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

Invoice submitted to:  
 Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.  
 Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

December 12, 2019

Invoice #11202

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
	<u>Accounting &amp; Reporting</u>			
8/1/2018	TM Accounting & Reporting Direction from Tom re fee app for TWM. Started checking timeslips. Email to group re upcoming fee app and dates.		0.20 165.00/hr	NO CHARGE
8/3/2018	TM Accounting & Reporting Put together initial spreadsheet for Tom's review of 18-month period for upcoming fee app.		0.60 165.00/hr	NO CHARGE
8/10/2018	TM Accounting & Reporting Entered timeslips info into narrative of upcoming fee app. Email to Tom.		2.30 165.00/hr	NO CHARGE
8/13/2018	TM Accounting & Reporting Entered timeslip info into narrative. Researched SFAR info.		1.00 165.00/hr	NO CHARGE
8/14/2018	TM Accounting & Reporting Entered timeslip info into fee app. Made exhibits for Tom and gave to him. Email from attorney and Tom re making exhibits for fee app.		2.40 165.00/hr	NO CHARGE
8/15/2018	TM Accounting & Reporting Questions from Tom re Total Wealth app. Replied re same.		0.10 165.00/hr	NO CHARGE
8/16/2018	TM Accounting & Reporting Made exhibits for fee app. Emails to and from Matthew re fee app for Crowe.		1.30 165.00/hr	NO CHARGE
SUBTOTAL:			[ 7.90	0.00]

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

	<u>Hours</u>	<u>Amount</u>
For professional services rendered	7.90	\$0.00
Balance due		<u>\$0.00</u>

Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

Invoice submitted to:  
 Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.  
 Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

December 12, 2019

Invoice #11202

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
9/13/2018	MRF	Accounting & Reporting Call with CPA re progress with tax returns.	0.30 90.00/hr	27.00
9/28/2018	MRF	Accounting & Reporting Reviewed vendor invoices and processed accounts payable.	0.30 90.00/hr	27.00
		SUBTOTAL:	[ 0.60	54.00]
		<u>Investor Relations</u>		
9/4/2018	AJ	Investor Relations Review correspondence from claimants, confer with Kim re same.	0.30 210.00/hr	63.00
9/5/2018	AJ	Investor Relations Review email from Tom regarding claims modification. Respond to same.	0.20 210.00/hr	42.00
	AJ	Investor Relations Confer with Kim re info needed on claims to be modified. Review info and give direction.	0.40 210.00/hr	84.00
	AJ	Investor Relations Review email from Josh related to claims motion, and respond to same.	0.20 210.00/hr	42.00
9/6/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions. Investigating last minute possible objections.	2.70 80.00/hr	216.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

		<u>Hrs/Rate</u>	<u>Amount</u>
9/6/2018	AJ	Investor Relations Review claims to be changed and confer with Kim re same. Prepare updated worksheet with modified claims. Call with Josh to discuss format, etc. Revise the report, finalize and email to Josh to review.	1.40 210.00/hr 294.00
9/7/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions. Investigating last minute possible objections.	1.80 80.00/hr 144.00
	AJ	Investor Relations Email investor communication to Kim for response.	0.10 210.00/hr 21.00
9/10/2018	TM	Investor Relations Email from Diaz re item to post to website. Downloaded and saved, made narrative. Gave to Kimberley with instructions. Made spreadsheet of all contacts for her to cross-reference and email to the Receiver's Reply Re Claims and Objections. Posted to website. Checked link. Made email and sent to subscribers. Sent email to group re same re yesterday's posting and emailing of Receiver's Reply.	1.20 165.00/hr 198.00
	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions. Working on getting out the latest update to those not on the email update list.	2.50 80.00/hr 200.00
9/11/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions. Working on getting out the latest update to those not on the email update list.	2.80 80.00/hr 224.00
9/12/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions. Working on getting out the latest update to those not on the email update list.	3.50 80.00/hr 280.00
9/13/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions. Investigating last minute possible objections.	1.30 80.00/hr 104.00
9/14/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions. Investigating last minute possible objections.	0.60 80.00/hr 48.00
9/17/2018	KW	Investor Relations Many phone calls and returned emails of claimants answering detailed update questions. Quick investigating last minute possible objections.	1.70 80.00/hr 136.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

			<u>Hrs/Rate</u>	<u>Amount</u>
9/17/2018	TM	Investor Relations Call from Alison re need for update to website.	0.10 165.00/hr	16.50
9/18/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions. Quick investigating last minute possible objections.	0.80 80.00/hr	64.00
9/20/2018	KW	Investor Relations Phone conversation with Peter Chirico.	0.30 80.00/hr	24.00
9/21/2018	TM	Investor Relations Posted update to Total Wealth website and sent out email.	1.00 165.00/hr	165.00
9/26/2018	KW	Investor Relations Email and a bit of research for Kimberly A McKinney.	0.80 80.00/hr	64.00
SUBTOTAL:			[ 23.70	2,429.50]
<u>Project Management</u>				
9/7/2018	AJ	Project Management Review email from IRA custodian and forward to Tom for response.	0.10 210.00/hr	21.00
9/25/2018	AJ	Project Management Review emails from Matt and Kim re vendor bill for notice mailing.	0.10 210.00/hr	21.00
SUBTOTAL:			[ 0.20	42.00]
<u>Receiver</u>				
9/28/2018	TAS	Receiver Telephone call with David Zaro re SEC complaint against PPCN, email Frank re settlement.	0.30 270.00/hr	81.00
SUBTOTAL:			[ 0.30	81.00]
For professional services rendered			24.80	\$2,606.50
Balance due				<u>\$2,606.50</u>

Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

Invoice submitted to:  
 Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.  
 Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

December 12, 2019

Invoice #11202

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
10/11/2018	MRF	Accounting & Reporting Call with CPA re status of tax returns.	0.30 90.00/hr	27.00
10/15/2018	MRF	Accounting & Reporting Met with Receiver to execute tax returns, saved digital copies on server, and gave instructions to Bonnie Carver re certified mailing of returns.	1.20 90.00/hr	108.00
10/24/2018	AJ	Accounting & Reporting Call from taxing authority in UT. Looked up tax bills and confer with Kim re claims sent/ filed, etc. Called and left a message.	0.20 210.00/hr	42.00
	AJ	Accounting & Reporting Call with UT tax person re claim form received. Advised that bar date has passed. Reviewed notices, and discussed the last return filed and reconciliation needed, letter, etc.	0.80 210.00/hr	168.00
SUBTOTAL:			[ 2.50	345.00]
		<u>Investor Relations</u>		
10/1/2018	KW	Investor Relations Ensuring all addresses are up to date on the correct excel.	0.60 80.00/hr	48.00
10/2/2018	AJ	Investor Relations Confer with Heidi re investor to see Tom. Confer with Tom re same. Look up info and call with Tom and Josh re same. Email Josh re	0.30 210.00/hr	63.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

			<u>Hrs/Rate</u>	<u>Amount</u>
		findings on condo that was sold.		
10/2/2018	AJ	Investor Relations Call from Tom and receive direction to look into property sales by Cooper. Log in and review title history for both Cooper properties. Create file and save info.	0.50 210.00/hr	105.00
	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions. Investigating last minute possible objections.	1.30 80.00/hr	104.00
10/4/2018	KW	Investor Relations Dealing with Mark Parsons Claim.	1.60 80.00/hr	128.00
10/5/2018	AJ	Investor Relations Review email from investor and confer with Kim re same. Provide instruction re researching claim, etc. Review results and discuss.	0.60 210.00/hr	126.00
10/8/2018	KW	Investor Relations Dealing with Mark Parsons Claim, and other investor inquiries.	1.10 80.00/hr	88.00
10/9/2018	KW	Investor Relations Dealing with Mark Parsons Claim, and other investor inquiries.	0.80 80.00/hr	64.00
10/19/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.70 80.00/hr	56.00
	AJ	Investor Relations Review emails from investors and forward to Kim for response.	0.20 210.00/hr	42.00
10/22/2018	AJ	Investor Relations Review email from IRA custodian. Confer with Kim re same.	0.20 210.00/hr	42.00
10/29/2018	TM	Investor Relations Email from Diaz with fee apps to post to website. Saved items to pubdocs.	0.30 165.00/hr	49.50
10/30/2018	KW	Investor Relations Looking into Chris and Ann Lee's claims and long discussion with investor that came in with questions about Tony Hartman and PPCN.	2.60 80.00/hr	208.00
	AJ	Investor Relations Confer with Kim re investor inquiry. Provide instruction and discuss findings.	0.40 210.00/hr	84.00
10/31/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.70 80.00/hr	56.00
SUBTOTAL:			[ 11.90	1,263.50]



Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

			<u>Hrs/Rate</u>	<u>Amount</u>
<u>Project Management</u>				
10/25/2018	AJ	Project Management Review email from Josh and review declaration. Call with Tom re same. Send signed declaration to Josh for filing.	0.20 210.00/hr	42.00
10/29/2018	AJ	Project Management Review email from Martha with items filed and to be posted to website. Review attachments.	0.40 210.00/hr	84.00
10/31/2018	AJ	Project Management Review email from Tom related to TWM subpoena. Review files and run search for the audio files. Confer with Darren re radio show files, review email re same. Set up folder in dropbox and load files. Finalize and email link to Tom for use by attorney to review the subpoenaed records.	2.40 210.00/hr	504.00
SUBTOTAL:			[ 3.00	630.00]
<u>Receiver</u>				
10/4/2018	TAS	Receiver Meet with concerned investor re claims questions, PPCN.	0.40 270.00/hr	108.00
10/11/2018	TAS	Receiver Place excess cash in treasury securities.	0.30 270.00/hr	81.00
10/31/2018	TAS	Receiver Receive inquiry from AUSA re radio recordings, direct and confer with Alison re same, follow up and complete.	0.20 270.00/hr	54.00
SUBTOTAL:			[ 0.90	243.00]
<u>Receivership Administration</u>				
10/15/2018	BC	Receivership Administration Prepared Certified mail for tax returns.	0.50 60.00/hr	30.00
10/24/2018	BC	Receivership Administration Prepared Certified mail for tax returns.	0.50 60.00/hr	30.00
SUBTOTAL:			[ 1.00	60.00]
For professional services rendered			19.30	\$2,541.50
Balance due				<u>\$2,541.50</u>

Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

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 Thomas Seaman Company  
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Professional Services

		<u>Hrs/Rate</u>	<u>Amount</u>
	<u>Accounting &amp; Reporting</u>		
10/22/2018	TM Accounting & Reporting Calls from Tom re SFAR for fee app. Made into pdf and sent to del Castillo.	0.10 165.00/hr	NO CHARGE
	SUBTOTAL:	[ 0.10	0.00]
	For professional services rendered	0.10	\$0.00
	Balance due		\$0.00

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Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Investor Relations</u>		
11/2/2018	AJ	Investor Relations Call with investor and review claim.	0.40 210.00/hr	84.00
11/13/2018	AJ	Investor Relations Review claims to be added/ adjusted. Draft email to Tom and Josh re same. Confer with Kim re details and give direction re same.	0.30 210.00/hr	63.00
11/14/2018	KW	Investor Relations Evaluating Mark Parsons claim. Spoke with him on the phone to clarify claim.	1.30 80.00/hr	104.00
	AJ	Investor Relations Review Parsons claim, confer with Kim re same.	0.50 210.00/hr	105.00
11/26/2018	AJ	Investor Relations Confer with Kim re claim additions. Review email from Josh re motions and figure needed. Call with Josh and follow up with email details on claims revisions.	1.00 210.00/hr	210.00
11/28/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.70 80.00/hr	56.00
		SUBTOTAL:	[ 4.20	622.00]

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

		<u>Hrs/Rate</u>	<u>Amount</u>
	<u>Project Management</u>		
11/26/2018	DC Project Management Received email from counsel re distribution; responded.	0.10 160.00/hr	16.00
	SUBTOTAL:	[ 0.10	16.00]
	For professional services rendered	4.30	\$638.00
	Balance due		\$638.00

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Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
12/4/2018	MRF	Accounting & Reporting Reviewed vendor invoices and processed accounts payable. Met with Thomas Seaman for approval and gave instructions to Bonnie Carver re sending payments. Conferred with broker re treasury investments on matured accounts and discussed cash needs with Receiver.	0.80 90.00/hr	72.00
12/21/2018	MRF	Accounting & Reporting Deposited payment received and updated accounting.	0.30 90.00/hr	27.00
12/27/2018	MRF	Accounting & Reporting Reviewed tax notices received from FTB and compared to return.	0.30 90.00/hr	27.00
		SUBTOTAL:	[ 1.40	126.00]
		<u>Investor Relations</u>		
12/4/2018	AJ	Investor Relations Confer with Kim re inquiries from investors, review emails, etc.	0.30 210.00/hr	63.00
	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	2.50 80.00/hr	200.00
12/5/2018	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.40 80.00/hr	32.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

		<u>Hrs/Rate</u>	<u>Amount</u>
12/7/2018	KW Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.10 80.00/hr	8.00
	AJ Investor Relations Review email from investor and consider.	0.10 210.00/hr	21.00
12/19/2018	KW Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.30 80.00/hr	24.00
12/26/2018	AJ Investor Relations Review email from Josh with status update.	0.10 210.00/hr	21.00
12/28/2018	KW Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.30 80.00/hr	24.00
SUBTOTAL:		[ 4.10	393.00]
<u>Project Management</u>			
12/4/2018	AJ Project Management Review email from Josh re fee applications and distribution motion, confer with Tom re same. Send order to Matt.	0.20 210.00/hr	42.00
SUBTOTAL:		[ 0.20	42.00]
<u>Receiver</u>			
12/4/2018	TAS Receiver Review Total Wealth invoice from Crowe, note billing issues, and send email re objections to same.	0.60 270.00/hr	162.00
	TAS Receiver Treasury management direct re T-bill sale, liquidity.	0.30 270.00/hr	81.00
SUBTOTAL:		[ 0.90	243.00]
For professional services rendered		6.60	\$804.00
Balance due			<u>\$804.00</u>

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Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
1/15/2019	MRF	Accounting & Reporting Call with broker re cash available to invest in treasuries.	0.20 90.00/hr	18.00
1/17/2019	MRF	Accounting & Reporting Preliminary discussion with CPA re 2018 return and documents needed. Reviewed file.	0.70 90.00/hr	63.00
1/21/2019	MRF	Accounting & Reporting Follow up call with CPA re 2018 tax items for upcoming return preparation.	0.40 90.00/hr	36.00
1/23/2019	AJ	Accounting & Reporting Received direction from Tom re reports needed.	0.10 210.00/hr	21.00
	AJ	Accounting & Reporting Reconcile bank accounts, run and save reports requested.	0.30 210.00/hr	63.00
1/25/2019	MRF	Accounting & Reporting Updated accounting with year-end interest income. Ran 12/31/18 financial statements and provided to Receiver.	0.50 90.00/hr	45.00
	MRF	Accounting & Reporting Reviewed vendor 1099 info and requested missing W9s. Input information to accounting and printed the 2018 1096/1099s. Gave instructions to Bonnie Carver re mailing same.	0.70 90.00/hr	63.00
1/29/2019	MRF	Accounting & Reporting Gathered 2018 financial statements and forwarded to CPA with various info re fund receipts.	1.40 90.00/hr	126.00



Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

		<u>Hrs/Rate</u>	<u>Amount</u>
SUBTOTAL:		[ 4.30	435.00]
	<u>Investor Relations</u>		
1/15/2019 KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.30 80.00/hr	24.00
1/28/2019 AJ	Investor Relations Confer with Tom re finalizing the case, review final costs and expenses for reserve. Confer with Kim re final claims and revisions. Work on finalizing all.	1.30 210.00/hr	273.00
KW	Investor Relations Correcting investor information on excel for exhibits.	2.10 80.00/hr	168.00
SUBTOTAL:		[ 3.70	465.00]
	<u>Project Management</u>		
1/23/2019 AJ	Project Management Call with Tom re Total Wealth closing case, distribution plan, etc.	0.20 210.00/hr	42.00
1/30/2019 TM	Project Management Downloaded PACER documents.	2.00 165.00/hr	330.00
SUBTOTAL:		[ 2.20	372.00]
	<u>Receiver</u>		
1/17/2019 TAS	Receiver Confer with Matt and calls with Mark at Wells re treasury management and maturing securities.	0.30 270.00/hr	81.00
1/21/2019 TAS	Receiver Confer with Matt re Crowe Horwath bill.	0.30 270.00/hr	81.00
1/23/2019 TAS	Receiver Telephone call with Josh re closing process, revise same. Telephone call with Crowe Howarth re same.	0.50 270.00/hr	135.00
TAS	Receiver Review Crowe Horwath draft bill, note unacceptable entries, summarize same, Telephone call with Chad Coombs re same.	0.50 270.00/hr	135.00
1/28/2019 TAS	Receiver Work on distribution motion and report, calculate reserves, calls with Josh re same.	1.90 270.00/hr	513.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

		<u>Hrs/Rate</u>	<u>Amount</u>
1/28/2019	TAS Receiver Consider cash balance and reserve needs. Telephone call with Josh re same, review and analyze Crowe bill. Telephone call with Chad re areas requiring review, calculate preliminary reserves.	1.10 270.00/hr	297.00
SUBTOTAL:		[ 4.60	1,242.00]
<u>Receivership Administration</u>			
1/31/2019	BC Receivership Administration Prepared mailing of 1099 forms.	0.30 60.00/hr	18.00
SUBTOTAL:		[ 0.30	18.00]
For professional services rendered		15.10	\$2,532.00
Balance due			<u>\$2,532.00</u>

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Professional Services

		<u>Hrs/Rate</u>	<u>Amount</u>
	<u>Accounting &amp; Reporting</u>		
1/28/2019	TM Accounting & Reporting Project for Tom re fee app upcoming.	1.00 165.00/hr	NO CHARGE
SUBTOTAL:		[ 1.00	0.00]
For professional services rendered		1.00	\$0.00
Balance due			\$0.00

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Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
2/1/2019	MRF	Accounting & Reporting Responded to email from CPA re 2018 financial statements.	0.40 90.00/hr	36.00
2/4/2019	AJ	Accounting & Reporting Reconcile the bank accounts and provide info to Tom as requested.	0.30 210.00/hr	63.00
2/26/2019	MRF	Accounting & Reporting Reviewed emails from CPA re 2018 tax return progress. Forwarded information requested and saved files received on server.	0.60 90.00/hr	54.00
SUBTOTAL:			[ 1.30	153.00]
		<u>Investor Relations</u>		
2/4/2019	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.50 80.00/hr	40.00
	AJ	Investor Relations Work on final claims report and exhibits, etc. Call with Tom and Josh re details re same. Email complete exhibit to all.	2.20 210.00/hr	462.00
2/5/2019	AJ	Investor Relations Confer with Kim recent investor communications and provide instruction on responses.	0.20 210.00/hr	42.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

		<u>Hrs/Rate</u>	<u>Amount</u>
2/11/2019	TM	Investor Relations Call from Tom re items to post on Total Wealth website. Email from attorneys with items. Prepared items for posting and posted. Sent emails to subscribers in two separate posts. Email to group re same.	1.20 165.00/hr 198.00
	AJ	Investor Relations Review email from Allen Matkins with filed docs. Review emails from investors in response to distribution notices sent out. Confer with Kim re responses to same.	0.50 210.00/hr 105.00
	KW	Investor Relations Phone call with Peter Chirico.	0.60 80.00/hr 48.00
2/12/2019	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.40 80.00/hr 32.00
	AJ	Investor Relations Confer with Kim re investors questions. Search for info on criminal case outcome. Review and discuss case status with Tom. Email Tom link to story on restitution.	0.60 210.00/hr 126.00
2/13/2019	AJ	Investor Relations Review investor messages and correspondence.	0.30 210.00/hr 63.00
2/19/2019	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.20 80.00/hr 16.00
	AJ	Investor Relations Review multiple emails from Tom and Josh related to Cooper settlement and the investors that are receiving restitution. Confer with Kim re same.	0.60 210.00/hr 126.00
2/20/2019	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions (.4). Investigated those who received money from Cooper (.6)	1.00 80.00/hr 80.00
	AJ	Investor Relations Emails with Allen Matkins re distribution revisions. Confer with Kim re investor responses. Review list of restitution victims, give direction to Kim re same.	0.70 210.00/hr 147.00
2/21/2019	KW	Investor Relations Phone calls and returned emails of claimants answering detailed update questions.	0.70 80.00/hr 56.00
	AJ	Investor Relations Review motion from Josh re distribution amendment. Work on revising the distribution amounts excluding the restitution recipients. Confer	2.30 210.00/hr 483.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

			<u>Hrs/Rate</u>	<u>Amount</u>
		with Tom re same. Revise again and prepare for Tom's final review.		
2/22/2019	AJ	Investor Relations Confer with Tom re final revised distribution numbers and receive approval. Finalize reports and email to Josh for filing.	0.50 210.00/hr	105.00
2/25/2019	AJ	Investor Relations Review email from Josh re TWM filing, call with Tom re same. Print docs for Tom to review.	0.30 210.00/hr	63.00
2/26/2019	AJ	Investor Relations Review email from Josh with proposed motion to revise distribution. Review docs and confer with Tom re same.	0.20 210.00/hr	42.00
SUBTOTAL:			[ 13.00	2,234.00]
<u>Project Management</u>				
2/4/2019	AJ	Project Management Review distribution motion emails from Josh and confer with Tom re same.	0.30 210.00/hr	63.00
2/7/2019	TM	Project Management Email from Tom re final report. Read through, minor changes. Saved.	0.10 165.00/hr	16.50
	AJ	Project Management Review email from Josh re filing. Confer with Tom re same.	0.30 210.00/hr	63.00
2/24/2019	DC	Project Management Came to office to inventory stored files and data for inventory purposes prior to move to storage.	0.80 160.00/hr	128.00
SUBTOTAL:			[ 1.50	270.50]
<u>Receiver</u>				
2/4/2019	TAS	Receiver Review draft report and motion to make distribution, update accounting through 1/31, calculate reserve requirements, calls and emails with counsel and Crowe re same, calculate distribution, confer re additional bona fide claim, subordination of non-investor claims, revise narrative in motion, prepare narrative report, prepare SFAR, prepare exhibit, forward red line to counsel, calls re same.	3.30 270.00/hr	891.00
2/14/2019	TAS	Receiver Email prosecutor Zipp re questions re purported restitution payments by defendant Cooper.	0.40 270.00/hr	108.00
2/21/2019	TAS	Receiver Confer with Alison re reducing distributions of claimants receiving restitution, direct re methodology and keeping those claimants	0.50 270.00/hr	135.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 4

		<u>Hrs/Rate</u>	<u>Amount</u>
	payments static and re pro rating balance over unaffected investors.		
2/22/2019	TAS Receiver Review draft calculations re apportionment of distribution check numbers and test, approve.	0.60 270.00/hr	162.00
2/26/2019	TAS Receiver Review and approve declaration re claims adjustments re restitution payment if made.	0.30 270.00/hr	81.00
SUBTOTAL:		[ 5.10	1,377.00]
<u>Receivership Administration</u>			
2/14/2019	AJ Receivership Administration Work on organizing records, documents and files. Direction to Bonnie re same.	0.30 210.00/hr	63.00
SUBTOTAL:		[ 0.30	63.00]
For professional services rendered		21.20	\$4,097.50
Balance due			<u>\$4,097.50</u>



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Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
3/15/2019	MRF	Accounting & Reporting Reviewed vendor invoices and processed accounts payable. Met with Thomas Seaman for approval of payments and gave instructions to Bonnie Carver re mailing checks. Reviewed K-1 received and forwarded to CPA.	0.40 90.00/hr	36.00
		SUBTOTAL:	[ 0.40	36.00]
		<u>Investor Relations</u>		
3/7/2019	AJ	Investor Relations Review Kipperman response and email from / to Josh re same.	0.20 210.00/hr	42.00
3/11/2019	KW	Investor Relations Phone call with Peter Chirico.	0.60 80.00/hr	48.00
3/13/2019	AJ	Investor Relations Review message from claimant. Forward to Kim for response.	0.10 210.00/hr	21.00
3/14/2019	AJ	Investor Relations Review correspondence from investors and forward to Kim for response.	0.10 210.00/hr	21.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

		<u>Hrs/Rate</u>	<u>Amount</u>
3/15/2019	KW Investor Relations Phone call with Peter Chirico.	0.70 80.00/hr	56.00
3/18/2019	KW Investor Relations Phone call with Peter Chirico. Discussing case with Alison Juroe. Saving documents from PACER.	1.40 80.00/hr	112.00
3/19/2019	KW Investor Relations Returning phone calls from investors.	0.60 80.00/hr	48.00
	TM Investor Relations Email from Diaz with items to post to website. Prepared for posting. Email to Diaz re date of hearing question.	1.20 165.00/hr	198.00
3/20/2019	KW Investor Relations Returning phone calls from investors.	0.20 80.00/hr	16.00
3/21/2019	KW Investor Relations Phone call with Peter Chirico.	0.50 80.00/hr	40.00
3/25/2019	AJ Investor Relations Confer with Kim re investor calls and appropriate responses.	0.10 210.00/hr	21.00
SUBTOTAL:		[ 5.70	623.00]
<u>Project Management</u>			
3/8/2019	AJ Project Management Confer with Tom re hearing date on distribution.	0.10 210.00/hr	21.00
3/11/2019	DC Project Management Reviewed boxed files and discovery boxes to confirm all for Total Wealth; moved to offsite storage and inventoried.	1.00 160.00/hr	160.00
3/18/2019	AJ Project Management Confer with Kim re distribution hearing, direct re PACER docs.	0.20 210.00/hr	42.00
	AJ Project Management Confer with Tom re hearing.	0.10 210.00/hr	21.00
	AJ Project Management Call with Tom re TWM, hearing taken off calendar, etc.	0.20 210.00/hr	42.00
SUBTOTAL:		[ 1.60	286.00]
<u>Receiver</u>			
3/20/2019	TAS Receiver Review PPCM settlement document changes, leave voice mail for Frank Scollan re same.	0.30 270.00/hr	81.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

		<u>Hrs/Rate</u>	<u>Amount</u>
		<u>          </u>	<u>          </u>
SUBTOTAL:		[ 0.30	81.00]
	<u>Receivership Administration</u>		
3/15/2019 BC	Receivership Administration	0.20	12.00
	Prepared checks for mailing to creditors.	60.00/hr	
		<u>          </u>	<u>          </u>
SUBTOTAL:		[ 0.20	12.00]
		<u>          </u>	<u>          </u>
For professional services rendered		8.20	\$1,038.00
			<u>          </u>
Balance due			<u>\$1,038.00</u>

Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

Invoice submitted to:  
 Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.  
 Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

December 12, 2019

Invoice #11202

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
4/11/2019	MRF	Accounting & Reporting Call with treasuries broker re funds transfer needed. Received instructions from Alison Juroe re checks needed for upcoming distribution to investors.	0.60 90.00/hr	54.00
		SUBTOTAL:	[ 0.60	54.00]
		<u>Investor Relations</u>		
4/3/2019	AJ	Investor Relations Review and forward investor email to Kim for response.	0.10 210.00/hr	21.00
4/8/2019	AJ	Investor Relations Review emails and correspondence from investors checking on status of distribution; forward to Kim for response.	0.20 210.00/hr	42.00
4/9/2019	KW	Investor Relations Returning phone calls and emails from investors regarding the latest decision released on 4/8.	3.90 80.00/hr	312.00
4/10/2019	KW	Investor Relations Returning phone calls and emails from investors regarding the latest decision released on 4/8.	2.10 80.00/hr	168.00
	AJ	Investor Relations Review emails from investors and forward to Kim for response. Call with Kim re same.	0.20 210.00/hr	42.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

		<u>Hrs/Rate</u>	<u>Amount</u>
4/11/2019	KW	Investor Relations Returning phone calls and emails from investors regarding the latest decision released on 4/8.	1.30 80.00/hr 104.00
	AJ	Investor Relations Confer with Matt re Total distribution, cash on hand, check stock, etc.	0.20 210.00/hr 42.00
4/12/2019	KW	Investor Relations Returning phone calls and emails from investors regarding the latest decision released on 4/8.	0.70 80.00/hr 56.00
	AJ	Investor Relations Review distribution list, order, and research notice given to claimants.	0.30 210.00/hr 63.00
4/15/2019	KW	Investor Relations Returning phone calls and emails from investors regarding the latest decision released on 4/8.	0.30 80.00/hr 24.00
4/16/2019	KW	Investor Relations Returning phone calls and emails from investors regarding the latest decision released on 4/8.	0.40 80.00/hr 32.00
	AJ	Investor Relations Work on distribution worksheet. Confer with Kim re same.	0.30 210.00/hr 63.00
4/17/2019	KW	Investor Relations Returning phone calls and emails from investors regarding the latest decision released on 4/8. Worked on investor address spreadsheet and preparing for distribution.	8.10 80.00/hr 648.00
4/18/2019	KW	Investor Relations Returning phone calls and emails from investors regarding the latest decision released on 4/8. Worked on investor address spreadsheet and preparing for distribution.	2.10 80.00/hr 168.00
	AJ	Investor Relations Work on getting ready for distribution, work on worksheet for upload. Confer with Kim re addresses, splits, etc.	0.60 210.00/hr 126.00
4/19/2019	KW	Investor Relations Returning phone calls and emails from investors regarding the latest decision released on 4/8. Worked on investor address spreadsheet and preparing for distribution.	3.80 80.00/hr 304.00
	AJ	Investor Relations Work on vendors. Direction to Bonnie, and confer with Matt re same.	0.10 210.00/hr 21.00
4/22/2019	KW	Investor Relations Worked on investor address spreadsheet and preparing for distribution. Contacting investors that had missing information needed for distribution. Returning phone calls and emails from investors	1.90 80.00/hr 152.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

			<u>Hrs/Rate</u>	<u>Amount</u>
		regarding the latest decision released on 4/8.		
4/23/2019	AJ	Investor Relations Continue to work on getting the claims data ready to import into Quickbooks.	0.70 210.00/hr	147.00
4/24/2019	KW	Investor Relations Worked on investor address spreadsheet and preparing for distribution. Contacting investors that had missing information needed for distribution. Returning phone calls and emails from investors regarding the latest decision released on 4/8.	1.20 80.00/hr	96.00
	AJ	Investor Relations Upload distribution data into Quickbooks. Work on corrections and formatting issues. Give direction to Bonnie re same.	2.40 210.00/hr	504.00
4/25/2019	BC	Investor Relations Entered bills for distribution.	6.40 60.00/hr	384.00
	KW	Investor Relations Worked on investor address spreadsheet and preparing for distribution. Contacting investors that had missing information needed for distribution. Returning phone calls and emails from investors regarding the latest decision released on 4/8.	0.90 80.00/hr	72.00
	AJ	Investor Relations Continue to work on cleaning up addresses and distribution amounts in Quickbooks. Direct Bonnie re same.	1.30 210.00/hr	273.00
4/26/2019	MRF	Investor Relations Received instructions from Alison Juroe and processed the investor distribution checks. Scanned signed checks.	1.80 90.00/hr	162.00
	AJ	Investor Relations Confer with Matt re distribution checks ready to be printed, discuss letter, check stock, staffing for mailing, etc.	0.50 210.00/hr	105.00
4/29/2019	BC	Investor Relations Prepared and mailed distribution checks to claimants.	5.50 60.00/hr	330.00
	KW	Investor Relations Prepped checks, labels, and letters for distribution check mailing. Received phone calls from investors.	9.60 80.00/hr	768.00
	AJ	Investor Relations Confer with Tom re distribution checks, letter, etc. Revise letter and print labels, etc.. Provide direction to Kim and Bonnie re mailing. Email motion to Tim for posting to website.	1.70 210.00/hr	357.00
4/30/2019	AJ	Investor Relations Review and respond to email from claimant re timing on checks, and title change, etc.	0.20 210.00/hr	42.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 4

		<u>Hrs/Rate</u>	<u>Amount</u>
4/30/2019	KW Investor Relations Phone calls and emails from investors.	0.80 80.00/hr	64.00
	TM Investor Relations Email from Alison re distribution order and need to post to website. Posted item to website and sent emails.	1.20 165.00/hr	198.00
SUBTOTAL:		[ 60.80	5,890.00]
<u>Project Management</u>			
4/8/2019	AJ Project Management Review email from Josh re motion was approved, review and respond to same.	0.30 210.00/hr	63.00
SUBTOTAL:		[ 0.30	63.00]
<u>Receiver</u>			
4/9/2019	TAS Receiver Receiver numerous voice mails and multiple calls from investor not happy with offset for Cooper's restitution debt, call her re same.	0.60 270.00/hr	162.00
4/29/2019	TAS Receiver Prepare cover letter for distribution check.	0.30 270.00/hr	81.00
SUBTOTAL:		[ 0.90	243.00]
For professional services rendered		62.60	\$6,250.00
Balance due			<u>\$6,250.00</u>

Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

Invoice submitted to:  
 Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.  
 Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

December 12, 2019

Invoice #11202

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
5/7/2019	MRF	Accounting & Reporting Received instructions from Alison Juroe and re-issued checks that were previously stop-paid. Issued new stop payment per instructions and exchanged emails with CPA re tax reporting of distribution payments.	0.80 90.00/hr	72.00
5/24/2019	MRF	Accounting & Reporting Forwarded K-1s received for 2018 and sent per request from CPA.	0.30 90.00/hr	27.00
SUBTOTAL:			[ 1.10	99.00]
		<u>Investor Relations</u>		
5/1/2019	KW	Investor Relations Phone calls and emails from investors.	1.20 80.00/hr	96.00
	TM	Investor Relations Saved new document in PACER.	0.20 165.00/hr	33.00
5/2/2019	AJ	Investor Relations Calls and emails with investors re questions about distribution. Confer with Tom and Kim re same. Email to Josh re investor inquiry for him to resolve, review response re same.	0.40 210.00/hr	84.00



Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

		<u>Hrs/Rate</u>	<u>Amount</u>
5/2/2019	KW Investor Relations Phone calls and emails from investors.	0.70 80.00/hr	56.00
5/3/2019	AJ Investor Relations Calls and emails with investors re reissue requests and other inquires. Confer with Bonnie and Kim re calls.	0.80 210.00/hr	168.00
	KW Investor Relations Phone calls and emails from investors.	1.30 80.00/hr	104.00
5/6/2019	MRF Investor Relations Received instructions from Alison Juroe re distribution check re-issues and stop payments. Logged into banking system and issued stop payments.	0.40 90.00/hr	36.00
	KW Investor Relations Phone calls and emails from investors.	0.30 80.00/hr	24.00
	AJ Investor Relations Emails and calls with claimants re reissues, check problems, etc.	0.70 210.00/hr	147.00
5/7/2019	KW Investor Relations Phone calls and emails from investors. Updating addresses and re-mailing checks.	2.10 80.00/hr	168.00
	AJ Investor Relations Emails and calls with claimants re distribution checks, taxes, etc. Reissue checks.	1.40 210.00/hr	294.00
5/8/2019	MRF Investor Relations Verified stop paid checks had not gone through. Mailed re-issued payment after verification.	0.30 90.00/hr	27.00
	AJ Investor Relations Calls and emails with claimants re distribution checks, reissue requests, etc. Confer with Tom re calls with IRA Custodians.	1.60 210.00/hr	336.00
5/9/2019	KW Investor Relations Phone calls and emails from investors. Updating addresses and re-mailing checks.	1.70 80.00/hr	136.00
	AJ Investor Relations Call with custodian, calls and emails with claimants re distribution check reissues, etc. Confer with Kim re same. Reissue checks.	0.70 210.00/hr	147.00
5/10/2019	KW Investor Relations Phone calls and emails from investors.	0.60 80.00/hr	48.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

		<u>Hrs/Rate</u>	<u>Amount</u>
5/10/2019	AJ Investor Relations Print and mail reissued checks. Calls with claimants re same.	0.80 210.00/hr	168.00
5/13/2019	KW Investor Relations Phone calls and emails from investors.	0.20 80.00/hr	16.00
5/14/2019	KW Investor Relations Phone calls and emails from investors.	0.70 80.00/hr	56.00
	AJ Investor Relations Review emails from claimants re distribution questions, reissues, taxes, etc.	0.30 210.00/hr	63.00
5/15/2019	AJ Investor Relations Emails and calls with claimants re distribution. Process check reissues, record notes in Quickbooks, etc.	1.30 210.00/hr	273.00
5/16/2019	AJ Investor Relations Review and respond to emails from investors requesting reissued checks. Look up info for IRA custodian re check split between Trad. and ROTH. Confer with Kim re same. Confer with Tom re investor questions about distributions if they did not file a claim. Confer with Bonnie re response to same. Review and edit.	0.80 210.00/hr	168.00
	KW Investor Relations Calculating investor IRA and Roth split.	0.40 80.00/hr	32.00
5/20/2019	KW Investor Relations Phone calls and emails from investors.	0.50 80.00/hr	40.00
	AJ Investor Relations Emails and calls re distribution checks to be reissued.	0.20 210.00/hr	42.00
5/21/2019	AJ Investor Relations Review emails from investors, and checks returned for reissue. Confer with Kim re investor communications, and answer questions.	0.30 210.00/hr	63.00
	KW Investor Relations Phone calls and emails from investors.	0.60 80.00/hr	48.00
5/22/2019	AJ Investor Relations Review checks received for reissue. Respond to investor questions, and emails from IRA custodians.	0.60 210.00/hr	126.00
	KW Investor Relations Phone calls and emails from investors.	0.60 80.00/hr	48.00
5/23/2019	AJ Investor Relations Calls and emails with investors and IRA custodian re distribution checks.	0.30 210.00/hr	63.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 4

		<u>Hrs/Rate</u>	<u>Amount</u>
5/23/2019	KW Investor Relations Phone calls and emails from investors.	0.70 80.00/hr	56.00
5/24/2019	AJ Investor Relations Emails with investors re distribution checks. Work on Voiding and reissuing checks. Make notes in Quickbooks, etc. Follow up with Bonnie on investor that is inquiring about notice of claims process. Review response from investor re same.	1.30 210.00/hr	273.00
5/26/2019	AJ Investor Relations Calls and emails with investors and IRA custodians related to distribution checks.	0.40 210.00/hr	84.00
5/29/2019	AJ Investor Relations Emails and calls with claimants re reissues, etc.	0.40 210.00/hr	84.00
5/30/2019	AJ Investor Relations Reissue and mail checks.	0.40 210.00/hr	84.00
5/31/2019	AJ Investor Relations Review email from investor that did not get a claim form. Confer with Bonnie re response to same.	0.20 210.00/hr	42.00
	KW Investor Relations Phone calls and emails from investors.	0.20 80.00/hr	16.00
SUBTOTAL:		[ 25.60	3,749.00]
<u>Project Management</u>			
5/28/2019	DC Project Management Received email from Tom re PPCN settlement with instructions. Carried out directive of email and informed counsel.	0.30 160.00/hr	48.00
5/29/2019	DC Project Management Received, printed and reviewed settlement agreement from counsel. Met with receiver, obtained signature, scanned and sent back to counsel.	0.30 160.00/hr	48.00
SUBTOTAL:		[ 0.60	96.00]
<u>Receivership Administration</u>			
5/16/2019	AJ Receivership Administration Process payroll. Confer with staff re hours, etc. Save and print payroll register, and 401k listing. Confer with Tom re funding amount needed.	0.80 210.00/hr	168.00
SUBTOTAL:		[ 0.80	168.00]

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 5

	<u>Hours</u>	<u>Amount</u>
For professional services rendered	28.10	\$4,112.00
Balance due		<u><u>\$4,112.00</u></u>

Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

Invoice submitted to:  
 Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.  
 Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

December 12, 2019

Invoice #11202

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
6/11/2019	AJ	Accounting & Reporting Reconcile bank account, multiple months.	0.40 210.00/hr	84.00
	MRF	Accounting & Reporting Reviewed trial balance and spoke with CPA re finalizing returns.	0.40 90.00/hr	36.00
6/12/2019	MRF	Accounting & Reporting Re-issued distribution checks and saved copies.	0.40 90.00/hr	36.00
6/18/2019	MRF	Accounting & Reporting Received info and instructions from Alison Juroe re check fraud on investor distribution check. Exported check register and sent to Wells Fargo so remaining investor distribution checks can clear.	0.70 90.00/hr	63.00
	AJ	Accounting & Reporting Review emails from Wells Fargo related to fraud check.	0.10 210.00/hr	21.00
6/19/2019	MRF	Accounting & Reporting Reviewed follow up email from banker re check fraud and pulled check image for Alison Juroe. Processed payment for Notary re check fraud affidavit. Faxed form to Wells Fargo to approve newly issued checks.	0.60 90.00/hr	54.00
	AJ	Accounting & Reporting Review emails from Wells Fargo related to filing a fraud claim. Confer with Matt re same. Completed the documents and discussed with Tom. Once signed and notarized, provided to Bonnie to send via	1.60 210.00/hr	336.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

			<u>Hrs/Rate</u>	<u>Amount</u>
		certified mail service.		
6/20/2019	AJ	Accounting & Reporting Review, download and print checks copies in batches from Wells Fargo.	0.90 210.00/hr	189.00
6/24/2019	AJ	Accounting & Reporting Work on reconciliation of distribution checks.	1.30 210.00/hr	273.00
6/26/2019	AJ	Accounting & Reporting Work on reconciling the list from Millennium with the checks issued.	1.20 210.00/hr	252.00
6/27/2019	MRF	Accounting & Reporting Call with CPA re receipt of 2018 tax return.	0.30 90.00/hr	27.00
6/28/2019	MRF	Accounting & Reporting Completed form and faxed to bank so re-issued checks will clear.	0.20 90.00/hr	18.00
SUBTOTAL:			[ 8.10	1,389.00]
<u>Investor Relations</u>				
6/3/2019	AJ	Investor Relations Review and respond to emails from claimants with checks to be reissued.	0.20 210.00/hr	42.00
6/5/2019	AJ	Investor Relations Review and respond to emails regarding check issues. Void, reissue and mail checks.	0.80 210.00/hr	168.00
6/6/2019	AJ	Investor Relations Review voicemail and emails from investors. Respond to email from IRA custodian related to distribution checks.	0.30 210.00/hr	63.00
6/10/2019	KW	Investor Relations Mailed instructions for investor having difficulty with checks.	0.30 80.00/hr	24.00
6/12/2019	AJ	Investor Relations Review email from Matthew re stop payment and reissue processed for Patti A.	0.10 210.00/hr	21.00
6/17/2019	AJ	Investor Relations Review email from investor and research checks. Find that one of the checks he did not receive cleared. Contact Wells Fargo and alert them to the fraudulent check. Calls with Wells Fargo and the investor re next steps. Discuss protected payment method for remaining checks outstanding. Will provide a check register. Issue stop payments on two checks lost in mail.	2.50 210.00/hr	525.00
6/24/2019	AJ	Investor Relations Review email from Millennium Trust related to distribution checks not received. Print report.	0.20 210.00/hr	42.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

			<u>Hrs/Rate</u>	<u>Amount</u>
6/25/2019	AJ	Investor Relations Reviewed and responded to voice mail messages. Calls and emails sent re distribution checks. Made notes in QuickBooks re same.	0.20 210.00/hr	42.00
6/26/2019	AJ	Investor Relations Calls and emails with custodian re checks split as well as with investor dissatisfied with the amount of distribution check.	0.40 210.00/hr	84.00
6/27/2019	AJ	Investor Relations Reissue and mail check to claimant. Calls and emails with investors.	0.30 210.00/hr	63.00
SUBTOTAL:			[ 5.30	1,074.00]
<u>Project Management</u>				
6/19/2019	TM	Project Management Request from Alison re getting a notary, scheduled notary. Met with notary. Call to Tom re appointment.	0.20 165.00/hr	33.00
	AJ	Project Management Request Tim set up a notary for WF Affidavit.	0.10 210.00/hr	21.00
SUBTOTAL:			[ 0.30	54.00]
<u>Receiver</u>				
6/6/2019	TAS	Receiver Direct Matt re Treasury management.	0.20 270.00/hr	54.00
SUBTOTAL:			[ 0.20	54.00]
<u>Receivership Administration</u>				
6/19/2019	BC	Receivership Administration Prepared certified mail and drove to post office.	0.50 60.00/hr	30.00
SUBTOTAL:			[ 0.50	30.00]
For professional services rendered			14.40	\$2,601.00
Balance due				<u>\$2,601.00</u>

Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

Invoice submitted to:  
 Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.  
 Thomas Seaman Company  
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 Suite 550  
 Irvine, CA 92614

December 12, 2019

Invoice #11202

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
7/2/2019	MRF	Accounting & Reporting Met with Receiver re closing tax return and cost estimate from CPA firm.	0.30 90.00/hr	27.00
7/3/2019	MRF	Accounting & Reporting Call with CPA to address 2018 accounting questions and status update on the tax returns.	0.50 90.00/hr	45.00
	AJ	Accounting & Reporting Reconcile bank account.	0.30 210.00/hr	63.00
7/12/2019	MRF	Accounting & Reporting Forwarded documents from CPA to counsel re estimated closing of case.	0.30 90.00/hr	27.00
7/17/2019	MRF	Accounting & Reporting Reissued investor distribution check and issued stop pay and lost check.	0.40 90.00/hr	36.00
7/31/2019	AJ	Accounting & Reporting Confer with Tom re order from the court on report due on distributions. Discuss previous reply to Josh. Reconcile bank for July. Run reports for outstanding checks, etc. Analyze data. Direct Bonnie re contacting investors with checks outstanding.	1.50 210.00/hr	315.00
SUBTOTAL:			[ 3.30	513.00]



Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

			<u>Hrs/Rate</u>	<u>Amount</u>
<u>Investor Relations</u>				
7/1/2019	KW	Investor Relations Spoke with investor with questions about the distributions.	0.30 80.00/hr	24.00
7/2/2019	AJ	Investor Relations Calls with investors re distribution. Mail checks and email re same.	0.30 210.00/hr	63.00
7/3/2019	AJ	Investor Relations Email investor re distribution.	0.10 210.00/hr	21.00
7/8/2019	AJ	Investor Relations Review calls and emails from claimants. Confer with Bonnie re same. Call with claimant that is out of country and has not received checks.	0.30 210.00/hr	63.00
	KW	Investor Relations Spoke with investor with questions about the distributions.	0.30 80.00/hr	24.00
7/9/2019	AJ	Investor Relations Review messages and correspondence from investors. Confer with Tom re PPCN investor. Call with investor and explain status of case.	0.20 210.00/hr	42.00
	AJ	Investor Relations Review and respond to emails and calls related to distribution checks needing to be reissued. Process and mail checks.	0.70 210.00/hr	147.00
7/15/2019	AJ	Investor Relations Confer with Bonnie re reissue. Review email from investor re same.	0.20 210.00/hr	42.00
7/16/2019	AJ	Investor Relations Reissue distribution checks, calls and emails re same. Reconcile and review outstanding checks, etc.	0.90 210.00/hr	189.00
7/22/2019	AJ	Investor Relations Call with investor re distribution check question.	0.20 210.00/hr	42.00
7/24/2019	TM	Investor Relations Sorted emails of case into proper folders for archiving. Highlighted items requiring work re website.	0.10 165.00/hr	16.50
7/29/2019	AJ	Investor Relations Call with investor re issues with distribution check.	0.30 210.00/hr	63.00
7/31/2019	AJ	Investor Relations Review email from Millennium re checks not received for certain clients. Format report and provide direction to Julia on filling out information for the listed investors.	0.70 210.00/hr	147.00
SUBTOTAL:			[ 4.60	883.50]

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

			<u>Hrs/Rate</u>	<u>Amount</u>
<u>Project Management</u>				
7/10/2019	DC	Project Management Worked with claims processors to optimize emailed files to speed printing process.	0.60 160.00/hr	96.00
7/16/2019	AJ	Project Management Prepare email to Josh with details and status on distribution, checks outstanding, etc.	0.30 210.00/hr	63.00
7/30/2019	AJ	Project Management Review PPCN Motion and Dec. Confer with Tom re same.	0.30 210.00/hr	63.00
SUBTOTAL:			[ 1.20	222.00]
<u>Receivership Administration</u>				
7/17/2019	BC	Receivership Administration Prepared checks and mailed to claimant.	0.10 60.00/hr	6.00
SUBTOTAL:			[ 0.10	6.00]
For professional services rendered			9.20	\$1,624.50
Balance due				<u>\$1,624.50</u>

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Invoice #11202

Professional Services

		<u>Hrs/Rate</u>	<u>Amount</u>
	<u>Accounting &amp; Reporting</u>		
7/23/2019	MRF Accounting & Reporting Reviewed comments re CPA's fee application from legal counsel and forwarded to CPA.	0.30 90.00/hr	NO CHARGE
SUBTOTAL:		[ 0.30	0.00]
For professional services rendered		0.30	\$0.00
Balance due			<u>\$0.00</u>

Thomas Seaman Company  
 3 Park Plaza  
 Suite 550  
 Irvine, CA 92614

Invoice submitted to:  
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 Thomas Seaman Company  
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 Suite 550  
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December 12, 2019

Invoice #11202

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
8/2/2019	MRF	Accounting & Reporting Reviewed vendor invoices and processed accounts payable.	0.40 90.00/hr	36.00
8/5/2019	AJ	Accounting & Reporting Follow up with Bonnie on report. Reconcile bank account, etc.	0.80 210.00/hr	168.00
8/16/2019	MRF	Accounting & Reporting Conversation with CPA re wind down of receivership and timeline for filing final tax returns.	0.40 90.00/hr	36.00
8/21/2019	MRF	Accounting & Reporting Met with Thomas Seaman to review the 2018 QSF tax return and execute. Gave instructions to Bonnie Carver re mailing same.	1.20 90.00/hr	108.00
SUBTOTAL:			[ 2.80	348.00]
		<u>Investor Relations</u>		
8/1/2019	AJ	Investor Relations Call with investor re distribution check.	0.10 210.00/hr	21.00
	AJ	Investor Relations Confer with Bonnie re un-cashed distribution checks and status on contacting the claimants. Review response and give direction re follow up. Make updates in Quickbooks. Reissue checks, etc.	0.80 210.00/hr	168.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

			<u>Hrs/Rate</u>	<u>Amount</u>
8/1/2019	AJ	Investor Relations Review messages and correspondence. Give Julia direction on Millennium Trust checks worksheet. Review finished worksheet.	0.40 210.00/hr	84.00
8/2/2019	BC	Investor Relations Contacted claimant regarding check that hadn't cleared.	0.50 60.00/hr	30.00
	AJ	Investor Relations Update check status on report, and follow with Bonnie on progress with contacting claimants	0.30 210.00/hr	63.00
8/5/2019	BC	Investor Relations Contacted claimants regarding check that hadn't cleared.	0.30 60.00/hr	18.00
	AJ	Investor Relations Calls with investors re distribution issues.	0.30 210.00/hr	63.00
8/6/2019	AJ	Investor Relations Review info from Bonnie re status on un-cashed checks. Follow up with Bonnie re same. Update Quickbooks' email to Matt re stop payments and checks to be printed. Update addresses, and void and reissue checks.	0.80 210.00/hr	168.00
	BC	Investor Relations Contacted claimants regarding check that hadn't cleared. Updated addresses in Quickbooks.	1.00 60.00/hr	60.00
	MRF	Investor Relations Received instructions from Alison Juroe and stop-paid/re-issued distribution checks. Saved backup copies and mailed checks.	0.90 90.00/hr	81.00
8/7/2019	BC	Investor Relations Contacted claimants regarding check that hadn't cleared. Updated addresses in Quickbooks.	0.20 60.00/hr	12.00
	KW	Investor Relations Spoke with investor with questions about the distributions.	0.30 80.00/hr	24.00
	MRF	Investor Relations Re-issued distribution checks per instructions from Alison Juroe and faxed confirmation to bank for processing.	0.40 90.00/hr	36.00
	AJ	Investor Relations Reissue checks, confer with Bonnie, and email Matt re same.	0.10 210.00/hr	21.00
	AJ	Investor Relations Confer with Kim re claim issue, incorrect claim calculation.	0.20 210.00/hr	42.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

			<u>Hrs/Rate</u>	<u>Amount</u>
8/8/2019	AJ	Investor Relations Calls with claimants re distribution checks.	0.20 210.00/hr	42.00
8/9/2019	AJ	Investor Relations Gave Kim direction re MT checks, updating report.	0.20 210.00/hr	42.00
8/12/2019	TM	Investor Relations Email from Diaz with items to post to website. Prepared narrative, uploaded documents, posted to website and sent out emails to subscribers. Email to group re completion.	1.00 165.00/hr	165.00
8/13/2019	AJ	Investor Relations Review email from investor with questions re DA's case against Cooper. Forward to Tom for response.	0.10 210.00/hr	21.00
8/15/2019	AJ	Investor Relations Email to Millennium Trust with detailed info requested on IRA clients.	0.20 210.00/hr	42.00
8/22/2019	MRF	Investor Relations Received instructions from Alison Juroe and re-issued distribution checks to proper payee.	0.40 90.00/hr	36.00
8/27/2019	AJ	Investor Relations Review voicemail from Tom re Total Wealth investor. Review message and discuss case status with Kim. Direct Kim to return the call. Confer with Bonnie re same.	0.20 210.00/hr	42.00
	KW	Investor Relations Spoke with investor with questions about the distributions.	0.40 80.00/hr	32.00
8/28/2019	AJ	Investor Relations Confer with Kim re Sheila Conner. Confer with Bonnie re same. Review emails and VM archives to confirm no call or email other than claim filing.	0.30 210.00/hr	63.00
8/29/2019	AJ	Investor Relations Call with Tom re Total Wealth investor with claim error. Call with Kim re same.	0.20 210.00/hr	42.00
	KW	Investor Relations Spoke with investor with questions about the distributions.	0.40 80.00/hr	32.00
	AJ	Investor Relations Review email and confer with Kim re Sheila Conner. Confer with Bonnie re same. Review email and vm archives and confirm no calls or emails other than claim filing.	0.30 210.00/hr	63.00
8/30/2019	KW	Investor Relations Spoke with investor with questions about the distributions.	0.40 80.00/hr	32.00
SUBTOTAL:			[ 10.90	1,545.00]

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 4

			<u>Hrs/Rate</u>	<u>Amount</u>
<u>Project Management</u>				
8/6/2019	AJ	Project Management Work on gathering details and figures for response to Josh for report to court. Email Josh with distribution status.	0.70 210.00/hr	147.00
8/12/2019	AJ	Project Management Review email from Josh del Castillo.	0.10 210.00/hr	21.00
8/16/2019	AJ	Project Management Review email from Josh related to SEC filed non-opposition to PPCN settlement.	0.10 210.00/hr	21.00
SUBTOTAL:			[ 0.90	189.00]
<u>Receivership Administration</u>				
8/7/2019	BC	Receivership Administration Contacted claimants regarding check that hadn't cleared. Updated addresses in Quickbooks.	0.30 60.00/hr	18.00
	BC	Receivership Administration Prepared checks for mailing to claimants.	0.30 60.00/hr	18.00
SUBTOTAL:			[ 0.60	36.00]
For professional services rendered			15.20	\$2,118.00
Balance due				<u>\$2,118.00</u>

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 3 Park Plaza  
 Suite 550  
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December 12, 2019

Invoice #11202

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
9/19/2019	AJ	Accounting & Reporting Reconcile bank account. Review outstanding checks. Confer with Bonnie re reissues requested. Process reissues and email Matt re same.	0.40 210.00/hr	84.00
	MRF	Accounting & Reporting Call with CPA re wrapping up case and final tax returns. Received instructions from Alison Juroe and voided outstanding distribution checks.	0.70 90.00/hr	63.00
	MRF	Accounting & Reporting Received instructions from Alison Juroe and stop-paid/re-issued distribution check.	0.40 90.00/hr	36.00
9/20/2019	AJ	Accounting & Reporting Work on finalizing amounts for Norman to file. Confer with Matt re interest on treasury funds. Print statement. Confer with Tom re adjusting entry. Email Norman with info requested.	0.70 210.00/hr	147.00
9/27/2019	MRF	Accounting & Reporting Responded to banker re treasury investments.	0.20 90.00/hr	18.00
		SUBTOTAL:	[ 2.40	348.00]
		<u>Investor Relations</u>		
9/3/2019	AJ	Investor Relations Review VM and print off copy of cleared check from WF website.	0.20 210.00/hr	42.00



Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

		<u>Hrs/Rate</u>	<u>Amount</u>
	Confer with Tom re code for same. Call with investor and discuss check, endorsement, etc.		
9/3/2019	KW Investor Relations Wrote letter for an investor.	0.30 80.00/hr	24.00
	AJ Investor Relations Confer with Kim re Conner claim issue. Direct re drafting letter as requested.	0.20 210.00/hr	42.00
9/5/2019	AJ Investor Relations Emails and call with claimants and Kim re distribution questions.	0.20 210.00/hr	42.00
9/10/2019	AJ Investor Relations Call with investor needing EIN for tax purposes. Confer with Tom and Matt, and provide info requested.	0.20 210.00/hr	42.00
9/13/2019	AJ Investor Relations Review and revise letter to claimant. Confer with Kim re details on claim amounts. Verify revised claim and distribution calculation. Confer with Matt and Tom re check to be cut and get approval.	0.70 210.00/hr	147.00
	MRF Investor Relations Processed investor check per instructions from Alison Juroe and mailed.	0.30 90.00/hr	27.00
9/17/2019	AJ Investor Relations Sent email to investor re claim error resolution.	0.10 210.00/hr	21.00
	AJ Investor Relations Review and forward investor email to Bonnie. Review distribution and confirm check cleared. Review Bonnie's response.	0.10 210.00/hr	21.00
	BC Investor Relations Responded to email from claimant.	0.20 60.00/hr	12.00
9/19/2019	BC Investor Relations Responded to email from claimant. Updated Quickbooks with address change.	0.40 60.00/hr	24.00
	KW Investor Relations Spoke with investor about outstanding check.	0.30 80.00/hr	24.00
SUBTOTAL:		[ 3.20	468.00]
<u>Project Management</u>			
9/13/2019	AJ Project Management Review emails from Josh and Norman, print final report and begin to review.	0.30 210.00/hr	63.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

		<u>Hrs/Rate</u>	<u>Amount</u>
9/19/2019	AJ Project Management Review vm and email from Norman. Review Final Report and make comments. Call with Norman and discuss cash balance, revisions, and timing for filing.	0.60 210.00/hr	126.00
	AJ Project Management Review Distribution motion and look for un-cashed check directive. Confer with Tom re closing case. Discuss hold back, reserve, etc. Confer with Matt re accountant fees, etc. Confer with Tim re final bill.	0.60 210.00/hr	126.00
9/23/2019	AJ Project Management Review email from Matt re box.com renewal.	0.10 210.00/hr	21.00
SUBTOTAL:		[ 1.60	336.00]
<u>Receivership Administration</u>			
9/9/2019	BC Receivership Administration Prepared certified mailing to IRS.	0.20 60.00/hr	12.00
SUBTOTAL:		[ 0.20	12.00]
For professional services rendered		7.40	\$1,164.00
Balance due			<u>\$1,164.00</u>

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December 12, 2019

Invoice #11202

Professional Services

		<u>Hrs/Rate</u>	<u>Amount</u>
<u>Accounting &amp; Reporting</u>			
9/13/2019	TM Accounting & Reporting Checked timeslips and email to Bonnie re description.	0.10 165.00/hr	NO CHARGE
9/19/2019	TM Accounting & Reporting Direction to begin final fee app.	0.10 165.00/hr	NO CHARGE
9/28/2019	TM Accounting & Reporting Checked timeslips for upcoming fee app. Started template for next application spreadsheet. Prepared spreadsheet of summary for Tom.	3.10 165.00/hr	NO CHARGE
SUBTOTAL:		[ 3.30	0.00]
For professional services rendered		3.30	\$0.00
Balance due			\$0.00

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Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
10/22/2019	AJ	Accounting & Reporting Review accounts and reconcile. Run reports for Tom.	0.20 210.00/hr	42.00
10/26/2019	MRF	Accounting & Reporting Processed vendor payment deposited tax refund.	0.40 90.00/hr	36.00
10/30/2019	AJ	Accounting & Reporting Confer with Tom re Total accounting. Check stale date passed. Void checks, and reconcile, run reports for Tom. Look up distribution order and confer with Tom re same.	0.20 210.00/hr	42.00
SUBTOTAL:			[ 0.80	120.00]
		<u>Investor Relations</u>		
10/4/2019	AJ	Investor Relations Call from investor, review and forward to Bonnie.	0.10 210.00/hr	21.00
10/11/2019	MRF	Investor Relations Re-issued investor check per instructions from Alison Juroe. Saved backup documents and gave info to Bonnie Carver for shipping.	0.40 90.00/hr	36.00
	AJ	Investor Relations Call with investor re reissue. Confer with Matt re same.	0.20 210.00/hr	42.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

			<u>Hrs/Rate</u>	<u>Amount</u>
10/28/2019	AJ	Investor Relations Review email from Matt re check stale date.	0.10 210.00/hr	21.00
		SUBTOTAL:	[ 0.80	120.00]
		<u>Project Management</u>		
10/25/2019	TM	Project Management Searched for documents on PACER. Downloaded several.	0.20 165.00/hr	33.00
		SUBTOTAL:	[ 0.20	33.00]
		<u>Receiver</u>		
10/30/2019	TAS	Receiver Confer with staff and counsel re report and fee app.	0.20 270.00/hr	54.00
		SUBTOTAL:	[ 0.20	54.00]
		For professional services rendered	2.00	\$327.00
		Balance due		\$327.00

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December 12, 2019

Invoice #11202

Professional Services

		<u>Hrs/Rate</u>	<u>Amount</u>
	<u>Accounting &amp; Reporting</u>		
10/15/2019	TM Accounting & Reporting Prepared spreadsheet for Tom re timeslips.	0.50 165.00/hr	NO CHARGE
10/16/2019	TM Accounting & Reporting Checked additional timeslips for next fee app. Email to attorney re previous Word document and received item.	0.80 165.00/hr	NO CHARGE
10/22/2019	TM Accounting & Reporting Call from Tom re previous fee apps and found info. Called him back.	0.10 165.00/hr	NO CHARGE
SUBTOTAL:		[ 1.40	0.00]
For professional services rendered		1.40	\$0.00
Balance due			<u>\$0.00</u>

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Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Investor Relations</u>		
11/6/2019	AJ	Investor Relations Confer with Bonnie re email from investor stating checks were not received. Review accounting and provide direction re same.	0.10 210.00/hr	21.00
11/26/2019	TM	Investor Relations Email from attorney re need to remove hyperlink for one of the postings due to Court order. Tried to log onto Network Solutions four times but it has a problem and is in "service."	0.20 165.00/hr	33.00
11/27/2019	TM	Investor Relations Removed hyperlinks from posting of the Receiver's suit against Private Placement Notes per Court order sent by Scollan. Searched website re if any other postings need to be edited. Email to Scollan. Made back-up of website.	0.80 165.00/hr	132.00
		SUBTOTAL:	[ 1.10	186.00]
		<u>Receiver</u>		
11/23/2019	TAS	Receiver Prepare worksheet for final accounting, cash on hand and liabilities.	0.70 270.00/hr	189.00
		SUBTOTAL:	[ 0.70	189.00]
		For professional services rendered	1.80	\$375.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

Amount

Balance due

\$375.00



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Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
		<u>Accounting &amp; Reporting</u>		
12/10/2019	MRF	Accounting & Reporting Met with Thomas Seaman & Alison Juroe re closing out case, final accounting, and tax return preparation.	0.50 90.00/hr	45.00
	MRF	Accounting & Reporting Processed final payables and vendor payments. Closed accounts.	0.90 90.00/hr	81.00
	MRF	Accounting & Reporting Printed financial statements and sent to CPAs for final receivership tax return preparation. Exchanged calls and emails with CPA to clear up various general ledger accounts. Provide details re classification of incoming funds and expenses re 2019.	2.80 90.00/hr	252.00
	MRF	Accounting & Reporting Received final receivership tax returns and met with Thomas Seaman to execute. Gave instructions to Bonnie Carver re certified mailing of final returns.	0.60 90.00/hr	54.00
	MRF	Accounting & Reporting Communicated with vendor to setup document destruction. Met with vendor and provided boxes for shredding.	0.50 90.00/hr	45.00
	AJ	Accounting & Reporting Reconcile accounts, download account statements, make interest entries, and confer with Tom re same.	0.40 210.00/hr	84.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 2

			<u>Hrs/Rate</u>	<u>Amount</u>
12/10/2019	AJ	Accounting & Reporting Case closing slip for Final bank account reconciliations.	0.40 210.00/hr	84.00
SUBTOTAL:			[ 6.10	645.00]
<u>Investor Relations</u>				
12/10/2019	AJ	Investor Relations Case closing slip for estimated time for investor communications.	1.50 210.00/hr	315.00
SUBTOTAL:			[ 1.50	315.00]
<u>Project Management</u>				
12/10/2019	AJ	Project Management Confer with Tom and Matt re finalizing case. Review motion and declaration sent by David. Email re Box.com account, and other case closing items.	0.30 210.00/hr	63.00
	AJ	Project Management Case closing slip to assist Tom with exhibits and review of Final report.	0.30 210.00/hr	63.00
SUBTOTAL:			[ 0.60	126.00]
<u>Receiver</u>				
12/1/2019	TAS	Receiver Confer with Tim re website re PPCN.	0.30 270.00/hr	81.00
12/3/2019	TAS	Receiver Emails with counsel re discharge papers.	0.20 270.00/hr	54.00
12/10/2019	TAS	Receiver Confer with Matt and Alison re closing final accounting work.	0.40 270.00/hr	108.00
	TAS	Receiver Review draft discharge papers, re-write accounting, reconcile, make revisions, add numbers, emails and calls re same.	3.70 270.00/hr	999.00
	TAS	Receiver Prepare SFAR.	0.60 270.00/hr	162.00
	TAS	Receiver Prepare reserve variance analysis.	0.90 270.00/hr	243.00

Thomas Seaman, Receiver for Total Wealth Mgmt. Inc.

Page 3

			<u>Hrs/Rate</u>	<u>Amount</u>
12/10/2019	TAS	Receiver Approve final distributions.	0.40 270.00/hr	108.00
	TAS	Receiver Confer with Counsel re revisions to discharge papers.	0.50 270.00/hr	135.00
	TAS	Receiver Review and revise proposed order.	0.30 270.00/hr	81.00
	TAS	Receiver Review and revise counsel's fee application.	0.40 270.00/hr	108.00
		SUBTOTAL:	[ 7.70	2,079.00]
		<u>Receivership Administration</u>		
12/10/2019	BC	Receivership Administration Prepared certified mailings of final receivership tax returns.	0.50 60.00/hr	30.00
		SUBTOTAL:	[ 0.50	30.00]
		For professional services rendered	16.40	\$3,195.00
		Balance due		\$3,195.00

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		<u>Hrs/Rate</u>	<u>Amount</u>
	<u>Accounting &amp; Reporting</u>		
12/5/2019	TM Accounting & Reporting Email from Tom re TWM link. Printed out and explained that the link has been removed. Researched previous email to Scollan, discussed with Tom and email to Scollan re same.	0.40 165.00/hr	NO CHARGE
12/11/2019	TM Accounting & Reporting Prepared spreadsheet exhibits for fee app for Tom's review.	3.00 165.00/hr	NO CHARGE
12/12/2019	TM Accounting & Reporting Finished edits to narrative, entered timeslips and SFAR info. Printed and gave to Tom. Made exhibits for attorneys.	4.50 165.00/hr	NO CHARGE
SUBTOTAL:		[ 7.90	0.00]
For professional services rendered		7.90	\$0.00
Balance due			<u>\$0.00</u>

## STANDARDIZED FUND ACCOUNTING REPORT for Total Wealth Management - Cash Basis

Receivership; Case No. 15-cv-226-BAS-DHB  
Reporting Period 02/01/2019 to 12/31/2019

FUND ACCOUNTING (See instructions):			
	<u>Detail</u>	<u>Subtotal</u>	<u>Grand Total</u>
<b>Line 1</b> Beginning Balance (01/31/2019):	3,353,316		3,353,316
<i>Increases in Fund Balance:</i>			
<b>Line 2</b> Business Income			-
<b>Line 3</b> Cash and Securities	800		800
<b>Line 4</b> Interest/Dividend Income	17,682		17,682
<b>Line 5</b> Business Asset Liquidation			-
<b>Line 6</b> Personal Asset Liquidation			-
<b>Line 7</b> Third-Party Litigation Income	25,000		25,000
<b>Line 8</b> Miscellaneous - Other			-
<b>Total Funds Available (Lines 1 - 8):</b>	<b>3,396,798</b>		<b>3,396,798</b>
<i>Decreases in Fund Balance:</i>			
<b>Line 9</b> Disbursements to Investors	(2,831,781)		(2,831,781)
<b>Line 10</b> Disbursements to Receivership Operations			
Line 10a Disbursement to Receiver or Other Professionals			-
Line 10b Business Asset Expenses			-
Line 10c Personal Asset Expenses	(2,027)		(2,027)
Line 10d Investment Expenses			-
Line 10e Third-Party Litigation Expenses			-
1. Attorney Fees	-		-
2. Litigation Expenses	-		-
<b>Total Third-Party Litigation Expenses</b>	<b>-</b>		<b>-</b>
Line 10f Tax Administrator Fees and Bonds	-		-
Line 10g Federal and State Tax Payments			
<b>Total Disbursements for Receivership Operations</b>			<b>(2,027)</b>
<b>Line 11</b> Disbursements for Distribution Expenses Paid by the Fund:			
Line 11a Distribution Plan Development Expenses:			
1. Fees:			
Fund Administrator.....	-		-
Independent Distribution Consultant (IDC)..	-		-
Distribution Agent.....	-		-
Consultants.....	-		-
Legal Advisors.....	-		-
Tax Advisors.....	-		-
2. Administrative Expenses	-		-
3. Miscellaneous	-		-
<b>Total Plan Developmental Expenses</b>	<b>-</b>		<b>-</b>
Line 11b Distribution Plan Implementation Expenses:			
1. Fees:			
Fund Administrator.....	-		-
IDC.....	-		-
Distribution Agent.....	-		-
Consultants.....	-		-
Legal Advisors.....	-		-
Tax Advisors.....	-		-
2. Administrative Expenses	-		-
3. Investor Identification:			
Notice/Publishing Approved Plan.....	-		-
Claimant Identification.....	-		-
Claims Processing.....	-		-
Web Site Maintenance/Call Center.....	-		-
4. Fund Administrator Bond	-		-
5. Miscellaneous	-		-
6. Federal Account for Investor Restitution (FAIR) Reports Expenses	-		-
<b>Total Plan Implementation Expenses</b>	<b>-</b>		<b>-</b>
<b>Total Disbursements for Distribution Expenses Paid by the Fund</b>			<b>-</b>
<b>Line 12</b> Disbursements to Court/Other:			
Line 12a Investment Expenses/Court Registry Investment System (CRIS) Fees	-		-
Line 12b Federal Tax Payments	-		-
<b>Total Disbursement to Court/Other:</b>			<b>-</b>
<b>Total Funds Disbursed (Lines 9 - 11):</b>			<b>(2,833,808)</b>
<b>Line 13</b> Ending Balance (As of 12/31/2019):			<b>562,990</b>

## STANDARDIZED FUND ACCOUNTING REPORT for Total Wealth Management - Cash Basis

Receivership; Case No. 15-cv-226-BAS-DHB

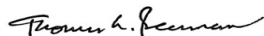
Reporting Period 02/01/2019 to 12/31/2019

<b>Line 14</b>	<b>Ending Balance of Fund - Net Assets:</b>			
Line 14a	Cash & Cash Equivalents			562,990
Line 14b	Investments			-
Line 14c	Other Assets or Uncleared Funds			-
	<b>Total Ending Balance of Fund - Net Assets</b>			<b>562,990</b>

OTHER SUPPLEMENTAL INFORMATION:				
	<u>Detail</u>	<u>Subtotal</u>	<u>Grand Total</u>	
<b>Report of Items NOT to be Paid by the Fund:</b>				
<b>Line 15</b>	<b>Disbursement for Plan Administration Expenses Not Paid by the Fund:</b>			
Line 15a	Plan Development Expenses Not Paid by the Fund:			
1. Fees:				
Fund Administrator.....	-			-
IDC.....	-			-
Distribution Agent.....	-			-
Consultants.....	-			-
Legal Advisors.....	-			-
Tax Advisors.....	-			-
2. Administrative Expenses	-			-
3. Miscellaneous	-			-
	<b>Total Plan Developmental Expenses Not Paid by the Fund</b>			<b>-</b>
Line 15b	Plan Implementation Expenses Not Paid by the Fund:			
1. Fees:				
Fund Administrator.....	-			-
IDC.....	-			-
Distribution Agent.....	-			-
Consultants.....	-			-
Legal Advisors.....	-			-
Tax Advisors.....	-			-
2. Administrative Expenses	-			-
3. Investor Identification				
Notice/Publishing Approved Plan.....	-			-
Claimant Identification.....	-			-
Claims Processing.....	-			-
Web Site Maintenance/Call Center.....	-			-
4. Fund Administrator Bond	-			-
5. Miscellaneous	-			-
6. FAIR Reporting Expenses	-			-
	<b>Total Plan Implementation Expenses Not Paid by the Fund</b>			<b>-</b>
Line 15c	Tax Administrator Fees & Bonds Not Paid by the Fund			
				-
	<b>Total Disbursements for Plan Administration Expenses Not Paid by the Fund</b>			<b>-</b>
<b>Line 16</b>	<b>Disbursements to Court/Other Not Paid by the Fund:</b>			
Line 16a	Investment Expenses/CRIS Fees	-		-
Line 16b	Federal Tax Payments	-		-
	<b>Total Disbursement to Court/Other Not Paid by the Fund:</b>			<b>-</b>
<b>Line 17</b>	<b>DC &amp; State Tax Payments</b>	-		-
<b>Line 18</b>	<b>No. of Claims:</b>			
Line 18a	# of Claims Received This Reporting Period.....			
Line 18b	# of Claims Received Since Inception of Fund.....			
<b>Line 19</b>	<b>No. of Claimants/Investors:</b>			
Line 19a	# of Claimants/Investors Paid this Reporting Period	261		
Line 19b	# of Claimants/Investors Paid Since Inception of Fund	261		

Receiver:

By:



Thomas Seaman

Receiver for Total Wealth

Date: 12/10/2019

**PROOF OF SERVICE**

*Securities and Exchange Commission v. Total Wealth Management, Inc., et al.*  
USDC, Southern District of California – Case No. 15-cv-226 BAS-MSB

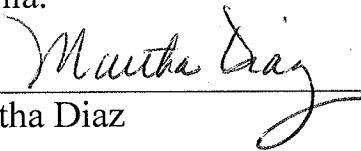
I am employed in the County of Los Angeles, State of California. I am over the age of 18 and not a party to the within action. My business address is 865 S. Figueroa Street, Suite 2800, Los Angeles, California 90017-2543.

On **January 23, 2020**, I caused to be served on all the parties to this action addressed as stated on the attached service list the document entitled:

**DECLARATION OF THOMAS A. SEAMAN IN SUPPORT OF MOTION OF RECEIVER FOR ORDER: (1) APPROVING FINAL REPORT AND ACCOUNTING; (2) AUTHORIZING PAYMENT OF FINAL FEE APPLICATIONS OF RECEIVER AND PROFESSIONALS; AND (3) STAYING RECEIVERSHIP CASE, DISCHARGING AND RELEASING RECEIVER**

- ☐ **OFFICE MAIL:** By placing in sealed envelope(s), which I placed for collection and mailing today following ordinary business practices. I am readily familiar with the firm's practice for collection and processing of correspondence for mailing; such correspondence would be deposited with the U.S. Postal Service on the same day in the ordinary course of business.
- ☐ **OVERNIGHT DELIVERY:** I deposited in a box or other facility regularly maintained by express service carrier, or delivered to a courier or driver authorized by said express service carrier to receive documents, a true copy of the foregoing document(s) in sealed envelope(s) or package(s) designed by the express service carrier, addressed as indicated on the attached service list, with fees for overnight delivery paid or provided for.
- ☐ **HAND DELIVERY:** I caused to be hand delivered each such envelope to the office of the addressee as stated on the attached service list.
- ☐ **ELECTRONIC MAIL:** By transmitting the document by electronic mail to the electronic mail address as stated on the attached service list.
- ☒ **E-FILING:** By causing the document to be electronically filed via the Court's CM/ECF system, which effects electronic service on counsel who are registered with the CM/ECF system.
- ☐ **FAX:** By transmitting the document by facsimile transmission. The transmission was reported as complete and without error.

1 I declare that I am employed in the office of a member of the Bar of this Court  
2 at whose direction the service was made. I declare under penalty of perjury under the  
3 laws of the United States of America that the foregoing is true and correct. Executed  
4 on **January 23, 2020** at Los Angeles, California.

5   
6 Martha Diaz